STRATEGY OPTIONS

	8 ETF Models	8 AdvisorOne Mutual Funds Models
Minimum Account Size	$5,000	$0
CLS Advisory Fee	0.25%	0.00%
Max Solicitor Fee	1.00%	1.25%
Holdings	Up to 6 ETFs	Mutual funds consisting of 70-130 ETFs
Trading Frequency	2-4 times annually	Potentially daily*
Risk Managed	Yes	Yes

**Trades occur inside AdvisorOne Funds; therefore, these changes may not appear in statements or account summaries*

ACCOUNT OPENING PROCESS

Capture your client's Risk Number™ via an online questionnaire.

Select the investment strategy/ model appropriate for your client's individual investing circumstance.

Complete the online application if the client is present, or electronically send the application to the client for completion.

GETTING STARTED WITH AUTOPILOT

IARs have access to Autopilot via a solicitor arrangement. Independent RIAs have the option to establish a solicitor or sub-advisor relationship with CLS. Both relationships utilize TD Ameritrade as the custodian. Sub-advisors must have, or be willing to establish a relationship with TD Ameritrade.

Solicitor:

1. Solicitor agreement(s)
2. Fee schedule
3. Your firm's account opening documents (optional)

Sub-Advisor:

1. Sub-advisor agreement(s)
2. Fee Schedule
3. Your firm's account opening documents
4. Shared advisor code at TD Ameritrade
5. Use of your own models (optional)

AUTOPILOT RESOURCES

Just like a mobile phone, your advisor portal allows you to easily navigate to the appropriate applications. Single sign-on applications provide you with everything from account opening to client reporting. To the right is a sample of what you will have access to with your advisor portal.

AUTOPILOT

Connects you directly into your onboarding portal, which allows you to capture your client's Risk Number™, recommend the appropriate investment strategy/model, and allow your clients to e-sign the application.

CLIENT PORTAL

Allows you to view what your clients see when they access their client portal. In this app, you can log directly into your client's portal to view account allocations, download statements, and see model performance.

REPORTS

Provides you the ability to run on-demand reports to prepare for client calls and reviews, designate reporting timeframes, and define additional parameters to tailor each report to your individual client's needs.

HOUSEHOLD OVERVIEW

Gives you the ability to view your client's accounts and households at a glance.

INSIGHT

Allows you to show a client all aspects of his or her portfolio in an interactive format.

PORTFOLIO AUDIT

Quickly scans your book of clients to capture important account data, from account numbers to current account fee schedules.

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